

ApplicantCompanyName: \_\_\_\_\_

NAIC No. \_\_\_\_\_

FEIN: \_\_\_\_\_

Uniform Certificate of Authority Application (UCAA)  
Corporate Amendments Application Checklist  
For Corporate Amendments Application Only

The application checklist is intended to help guide the insurer (herein after referred to as "Applicant Company") with assembly of a complete Corporate Amendments Uniform Certificate of Authority Application (UCAA). Please be sure to complete the checklist by appropriately marking the boxes on the left side of the page prior to submitting application for review. For hardcopy filings the completed checklist should be attached to the top of the application. For electronic filings, the checklist is automatically created and cannot be edited. Any additional items listed below pertaining to the application should be attached via the UCAA portal or mailed directly to the states

Regulator Use Only

1. Application Form (pursuant to Sections I-VIII , Filing Requirements Item 1), containing:

- Completed UCAA Corporate Amendments Application Checklist (Form 1C)
- Original UCAA Corporate Amendments Application Form executed, signed and Attachments (Form 2C)
- Original Certificate of Authority or an Affidavit of Lost Certificate of Authority (Form 15) (not applicable for Sections

Articles of Merger (pursuant to Sections I-VII , Filing Requirements Item 3)   
 Submit documentation as listed

4. Bylaws (pursuant to Sections I-VI , Filing Requirements Item 4; Section VIII ,

6. Minimum Capital and Surplus Requirements (pursuant to Sections I and V, Filing Requirements Item 5)   
 Provide explanation of compliance with minimum capital and surplus requirements for state for which application is prepared

7. Certificate of Deposit for Statutory Deposit Requirements (pursuant to Sections I and V Filing Requirements Item 6 Section III , Filing Requirements Item 5)   
 An original Certificate of Deposit prepared by state of domicile (Form 7)

8. Plan of Operation (pursuant to Sections I, V and VI, Filing Requirements Item 7)   
 Completed Questionnaire (Form 8C) per Section I Filing Requirements Item 7  
 Pro Forma (Form 13)  
 Narrative

9. Deleting Lines of Business (pursuant to Section, I

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10. Statutory Membership(s) (pursuant to Sections I and V, Filing Requirements Item 8)   
 Submit documentation as listed

11. Certificate of Compliance (pursuant to Section I, Filing Requirements Item 9)   
 Original Certificate of Compliance completed by domiciliary state insurance regulatory agency (Form 6)

12. State-Specific Information (pursuant to Section I, Filing Requirements Item 10; Sections II and IV, Filing Requirements Item 7; Section III, Filing Requirements Item 8; Section V, Filing Requirements Item 12; Section VI, Filing Requirements Item 9; Section VII, Filing Requirements Item 6; Section VIII, Filing Requirements Item 5; and Section X, Filing Requirements Item 4)   
 Some jurisdictions may have additional requirements that must be met before approval can be granted or the amended Certificate of Authority can be issued. Applicant Company should review the list of requirements for the state to which they are applying. That listing can be found at [http://www.naic.org/industry\\_ucaa.htm](http://www.naic.org/industry_ucaa.htm)

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